

***Nomination Petition  
For Small Firm Seat  
FINRA Board of Governors***

**I hereby certify that I am the Executive Representative to a FINRA member in the Small Firm category. I am eligible to cast a vote in the upcoming Board of Governors election.**

**I hereby nominate, for the indicated three year term, the following candidate that I am eligible to nominate, whose name is to be placed on a ballot for election to the FINRA Board of Governors.**

***I wish to Nominate***

***Robert Keenan Jr. CRD # 2000976  
St Bernard Financial Services, Inc.***

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***Name of Member Firm***

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***Firm CRD#***

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***Printed Name of Executive Representative***

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***Signature of Executive Representative***

***Return By Fax or Email***

**(FAX) 479-967-9344 or (EMail) [rkeenan@stbernardfinancial.com](mailto:rkeenan@stbernardfinancial.com)**

## **Robert Keenan**

**Robert Keenan is the Chief Executive Officer of St Bernard Financial Services, Inc., a firm he founded in 1994 on a kitchen table with a used computer and borrowed software. He holds the Series 7, 24, 28, 53, 63, and 65 licenses. He also is the Chief Compliance Officer, the Financial Operations Principal, the Municipal Principal, the Sales Manager, head of IT, and the janitor.**

**St. Bernard, headquartered in Russellville, AR, serves 49 representatives in 10 states.**

**Keenan's background includes over 35 years of senior management and sales positions. He started in the securities industry with IDS/American Express. He founded St Bernard after a short stint with Washington Square Securities. In addition to the duties of his various positions, Keenan maintains an active base of investment clients and is one of the top ten producers of the firm.**

**He holds a Bachelor of Science in Business Administration from the University of Arkansas and a Master of Business Administration from the University of Central Arkansas.**

**Keenan is completing his first term on FINRA's Board of Governors. He has served a term on FINRA's District Committee and has been a Hearing Officer on many FINRA disciplinary hearings. He was a panelist at FINRA's 1999 Annual meeting's Y2K presentation for small firms.**

**He has previously served on the Boards of Main Street Russellville, the WestArk Area Council of the Boy Scouts, The Arkansas River Valley Bank, the Arkansas State Plant Board, the Tri-County Regional Water Distribution District, and the Russellville Airport Commission.**

**Robert believes small firms need a representative on the Board that actually owns and operates a full service broker/dealer, someone that has an active client base, and fully understands the problems small firms face everyday trying to meet the mountains of rules and**



regulations sent down from Washington. He believes that spending time with the non-industry Governors to educate them on the day to day problems facing small firms is more productive than being confrontational with them.

During his term, Robert has been successful in helping small firms. Just a small list of his accomplishments include:

- **Rebates for You**--At the end of 2013 and 2014 he was able to help push through a rather nice rebate of your FINRA fees. FINRA lost money in 2015 so he was unsuccessful in getting a third rebate. If FINRA has a good year in 2016, you can count on Robert to push for another rebate of the fees we pay to them.
- **Lower Expenses**--There was a proposal for a requirement to have a direct link to each of your Rep's individual BrokerCheck report to be placed on every electronic communication sent out. Robert was able to talk them into changing that to just a link to the main BrokerCheck page being on your website's main page and on any profile pages. Having to have code written for a deep link to every single Rep would have been very costly, not to mention the time required to monitor.
- **Video Guides**--One of my platforms for running in 2013 was to have a Best Practices Manual or set of videos for small firms like ours to help guide us on how to meet the rules. Robert has worked hard on this and it has happened. FINRA is recording podcasts giving examples of how firms are meeting rules that have been a problem for firms in the past. Look for them on FINRA's website in the Small Firm section. They provide good ideas on meeting the rules.
- **Audit Help**--He has worked diligently, with several other people, on a way to free us from having to have a PCAOB approved auditor. He is working on this as you read this letter and will have an update soon.
- **Online CE Testing**--Robert strongly supported the efforts of the tech people at FINRA to implement software that enables you to be able to take the CE attests at your desks, rather than travel to a testing site. This has saved many of us the whole day lost to filling the CE requirements every three years.

- **Advocate for You**--And most importantly, Robert has spent hours explaining how we operate to the non-industry Governors on the Board so they can better understand how rules affect small firms like ours. This effort has been immensely successful in getting rule proposals modified to lessen the unintended consequences on us.

**He asks for your vote for the Small Firm seat on the Board of Governors.**